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DEPARTMENT OF EDUCATION

Applications for New Awards; Education Innovation and Research (EIR) Program--Mid-phase Grants

AGENCY: Office of Elementary and Secondary Education, Department of Education.

ACTION: Notice.

SUMMARY: The Department of Education (Department) is issuing a notice inviting applications for fiscal year (FY) 2022 for the EIR program--Mid-phase Grants, Assistance Listing Number 84.411B (Mid-phase Grants). This notice relates to the approved information collection under OMB control number 1894-0006.

DATES:

Applications Available: [INSERT DATE 2 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Notice of Intent to Apply: [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: June 21, 2022.

Deadline for Intergovernmental Review: August 22, 2022.

Pre-Application Information: The Department will post additional competition information for prospective applicants on the EIR program website:

https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/innovation-early-learning/education-innovation-and-research-eir/fy-2022-competition/.

ADDRESSES: For the addresses for obtaining and submitting
an application, please refer to our Common Instructions for
Applicants to Department of Education Discretionary Grant
Programs, published in the *Federal Register* on December 27,
2021 (86 FR 73264) and available at
www.federalregister.gov/d/2021-27979. Please note that
these Common Instructions supersede the version published
on February 13, 2019, and, in part, describe the transition
from the requirement to register in SAM.gov a Data
Universal Numbering System (DUNS) number to the
implementation of the Unique Entity Identifier (UEI). More
information on the phaseout of DUNS numbers is available at
www2.ed.gov/about/offices/list/ofo/docs/unique-entity-
identifier-transition-fact-sheet.pdf.

FOR FURTHER INFORMATION CONTACT: Yvonne Crockett, U.S.
Department of Education, 400 Maryland Avenue, SW, room
3E344, Washington, DC 20202-5900. Telephone: (202) 453-
7122. Email: eir@ed.gov.

    If you use a telecommunications device for the deaf
(TDD) or a text telephone (TTY), call the Federal Relay
Service (FRS), toll-free, at 1-800-877-8339.

SUPPLEMENTARY INFORMATION:

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The EIR program, established under
section 4611 of the Elementary and Secondary Education Act,

as amended (ESEA), provides funding to create, develop, implement, replicate, or take to scale entrepreneurial, evidence-based, field-initiated innovations to improve student achievement and attainment for high-need students; and to rigorously evaluate such innovations. The EIR program is designed to generate and validate solutions to persistent education challenges and to support the expansion of those solutions to serve substantially higher numbers of students.

The central design element of the EIR program is its multi-tier structure that links the amount of funding an applicant may receive to the quality of the evidence supporting the efficacy of the proposed project, with the expectation that projects that build this evidence will advance through EIR's grant tiers: "Early-phase," "Mid-phase," and "Expansion."

"Early-phase," "Mid-phase," and "Expansion" grants differ in terms of the level of prior evidence of effectiveness required for consideration for funding, the expectations regarding the kind of evidence and information funded projects should produce, the level of scale funded projects should reach, and, consequently, the amount of funding available to support each type of project.

Mid-phase grants are supported by moderate evidence (as defined in this notice). Mid-phase grants provide funding for the implementation and rigorous evaluation of a

program that has been successfully implemented under an Early-phase grant or other effort meeting similar criteria, for the purpose of measuring the program's impact and cost-effectiveness, if possible using existing administrative data.

This notice invites applications for Mid-phase grants only. The notices inviting applications for Early-phase and Expansion grants are published elsewhere in this issue of the *Federal Register*.

Background:

While this notice is for the Mid-phase tier only, the premise of the EIR program is that new and innovative educational programs and practices can help to overcome the persistent and significant challenges to student success, particularly for underserved and high-need students. Note: The EIR program statute refers to "high-need students" but allows applicants to define the term as it relates to the proposed project, population, and setting. In addressing the needs of underserved students, the statutory requirement for serving "high-need students" can also be addressed.

These innovations need to be evaluated, and, if sufficient evidence of effectiveness can be demonstrated, the intent is for these innovations to be replicated and tested in new populations and settings. EIR is not intended to provide support for practices that are already

commonly implemented by educators, unless significant adaptations of such practices warrant testing to determine if they can accelerate achievement or increase the likelihood that the practices can be widely, efficiently, and effectively implemented in new populations and settings.

As an EIR project is implemented, grantees are encouraged to learn more about how the practices improve student achievement and attainment and to develop increasingly rigorous evidence of effectiveness and new strategies to efficiently and cost-effectively scale to new school districts, regions, and States. We encourage applicants to develop a logic model, theory of action, or another conceptual framework that includes the goals, objectives, outcomes, and key project components (as defined in this notice) of the project that can support systems of continuous improvement.

Note: Logic model (also referred to as a theory of action) means a framework that identifies key project components of the proposed project (i.e., the active "ingredients" that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships.

All EIR applicants and grantees should also consider how they need to develop their organizational capacity, project financing, or business plans to sustain their

projects and continue implementation and adaptation after Federal funding ends. The Department intends to provide grantees with technical assistance in their dissemination, scaling, and sustainability efforts.

Mid-phase projects are expected to refine and expand the use of practices with prior evidence of effectiveness in order to improve outcomes for high-need and underserved students. They are also expected to generate important information about an intervention's effectiveness, such as for whom and in which contexts a practice is most effective, including cost-effectiveness. Mid-phase projects are uniquely positioned to help answer critical questions about the process of scaling a practice to the regional or national levels (as defined in this notice) across geographies. Mid-phase grantees are encouraged to consider how the cost structure of a practice can change as the intervention scales. Additionally, grantees may want to consider multiple ways to facilitate implementation fidelity without making scaling too onerous.

Mid-phase applicants are encouraged to design an evaluation that has the potential to meet the strong evidence (as defined in this notice) threshold. Mid-phase grantees should measure the cost-effectiveness of their practices using administrative or other readily available data. These types of efforts are critical to sustaining and scaling EIR-funded effective practices after the EIR

grant period ends, assuming that the practice has positive effects on important student outcomes. In order to support adoption or replication by other entities, the evaluation of a Mid-phase project should identify and codify the core elements of the EIR-supported practice that the project implements and examine the effectiveness of the project for any new populations or settings that are included in the project. The Department intends to provide grantees and their independent evaluators with evaluation technical assistance. This evaluation technical assistance could include grantees and their independent evaluators providing to the Department or its contractor updated comprehensive evaluation plans in a format as requested by the technical assistance provider and using such tools as the Department may request. Grantees will be encouraged to update this evaluation plan at least annually to reflect any changes to the evaluation, with updates consistent with the scope and objectives of the approved application.

The FY 2022 Mid-phase competition includes four absolute priorities and two competitive preference priorities. All Mid-phase applicants must address Absolute Priority 1. Mid-phase applicants are also required to address one of the other three absolute priorities. Applicants have the option of addressing one or both competitive preference priorities and may opt to do so regardless of the absolute priority they select.

Absolute Priority 1--Moderate Evidence establishes the evidence requirement for this tier of grants. All Mid-phase applicants must submit prior evidence of effectiveness that meets the moderate evidence standard.

Absolute Priority 2--Field-Initiated Innovations--General allows applicants to propose projects that align with the purpose of the EIR program: to create and take to scale entrepreneurial, evidence-based, field-initiated innovations to improve student achievement and attainment.

Absolute Priority 3--Field-Initiated Innovations--Promoting Equity in Student Access to Educational Resources and Opportunities is intended to support innovations to improve student achievement and attainment in the science, technology, engineering, or mathematics (STEM) education field, consistent with efforts to ensure our Nation's economic competitiveness by improving and expanding STEM learning and engagement.

In Absolute Priority 3, the Department recognizes the importance of funding prekindergarten (Pre-K) through grade 12 STEM education and anticipates that projects would expand opportunities for high-need students. Within this absolute priority, applicants may focus on expanding opportunities in computer science for underrepresented students such as students of color, girls, English Learners, students with disabilities, youth from rural

communities, and youth from families living at or below the poverty line, to help reduce the enrollment and achievement gaps in a manner consistent with nondiscrimination requirements contained in Federal civil rights laws.

Absolute Priority 4--Field-Initiated Innovations--Meeting Student Social, Emotional, and Academic Needs is intended to promote high-quality social and emotional learning projects. Countless students have been exposed to trauma and disruptions in learning and have experienced disengagement from school and peers, negatively impacting their mental health and wellbeing. It is critical to provide support for students' social and emotional needs, not only to benefit students wellbeing, but also to support their academic success as student social, emotional, and academic development are interconnected.

Competitive Preference Priority 1 is intended to encourage applicants to propose projects that promote equity and adequacy in educational opportunity and outcomes.

Competitive Preference Priority 2 reflects the Administration's ongoing commitment to addressing the impact of the novel coronavirus 2019 (COVID-19) on Pre-K-grade 12 education. COVID-19 has caused unprecedented disruption in schools across the country and drawn renewed attention to the ongoing challenges for underserved students. In response to the pandemic, educators have

mobilized and continue to work hard to address the needs of all students. Researchers, educators, parents, and policymakers are working to understand and address the impact of inconsistent access to instruction, enrichment, peers, and services and supports, and the impact of other related challenges.

We also know that for students in underserved communities, inequities in educational opportunity and outcomes existed prior to COVID-19. Those inequities have only been exacerbated by COVID-19. The impact of the COVID-19 pandemic changed the education landscape for the foreseeable future, especially as students continue to make up for lost classroom instruction. However, it also provides an opportunity to redesign how schools approach teaching and learning in ways that both address long-standing gaps in educational opportunity and better prepare students for college and careers.

The Department seeks projects that develop and evaluate evidence-based, field-initiated innovations to remedy the inequities in our country's education system. The proposed innovations should be designed to better enable students to access the educational opportunities they need to succeed in school and reach their future full potential.

Through these priorities, the Department intends to advance innovation, build evidence, and address the

learning and achievement of underserved and high-need students in Pre-K through grade 12.

Priorities: This notice includes four absolute priorities and two competitive preference priorities. In accordance with 34 CFR 75.105(b)(2)(ii), Absolute Priority 1 is from 34 CFR 75.226(d)(2). In accordance with 34 CFR 75.105(b)(2)(iv), Absolute Priority 2 is from section 4611(a)(1)(A) of the ESEA. In accordance with 34 CFR 75.105(b)(2)(iv), Absolute Priorities 3 and 4 are from section 4611(a)(1)(A) of the ESEA and the Supplemental Priorities and Definitions for Discretionary Grant Programs, published in the *Federal Register* on December 10, 2021 (86 FR 70612) (Supplemental Priorities). The competitive preference priorities are from the Supplemental Priorities.

In the Mid-phase grant competition, Absolute Priorities 2, 3, and 4 constitute their own funding categories. The Secretary intends to award grants under each of these absolute priorities provided that applications of sufficient quality are submitted. To ensure that applicants are considered for the correct type of grant, applicants must clearly identify the specific absolute priority that the proposed project addresses. If an entity is interested in proposing separate projects (e.g., one that addresses Absolute Priority 2 and another

that addresses Absolute Priority 3), it must submit
separate applications.

<u>Absolute Priorities</u>: For FY 2022 and any subsequent year
in which we make awards from the list of unfunded
applications from this competition, these priorities are
absolute priorities. Under 34 CFR 75.105(c)(3), we
consider only applications that meet Absolute Priority 1--
Moderate Evidence, and one additional absolute priority
(Absolute Priority 2, Absolute Priority 3, or Absolute
Priority 4).

These priorities are:

<u>Absolute Priority 1--Moderate Evidence</u>.

Projects supported by evidence that meets the
conditions in the definition of "moderate evidence."

<u>Note</u>: An applicant must identify up to two studies to be
reviewed against the What Works Clearinghouse (WWC)
Handbooks (as defined in this notice) for the purposes of
meeting the definition of "moderate evidence." The studies
may have been conducted by the applicant or by a third
party. An applicant must clearly identify the citations
for each study in the Evidence form. An applicant must
ensure that all cited studies are available to the
Department from publicly available sources and provide
links or other guidance indicating where each is available.
The Department may not review a study that an applicant
fails to clearly identify for review.

In addition to including up to two study citations, an applicant must provide in the Evidence form the following information: (1) the positive student outcomes the applicant intends to replicate under its Mid-phase grant and how these outcomes correspond to the positive student outcomes in the cited studies; (2) the characteristics of the population or setting to be served under its Mid-phase grant and how these characteristics correspond to the characteristics of the population or setting in the cited studies; and (3) the practice(s) the applicant plans to implement under its Mid-phase grant and how the practice(s) correspond with the practice(s) in the cited studies.

If the Department determines that an applicant has provided insufficient information, the applicant will not have an opportunity to provide additional information. However, if the WWC determines that a study does not provide enough information on key aspects of the study design, such as sample attrition or equivalence of intervention and comparison groups, the WWC may submit a query to the study author(s) to gather information for use in determining a study rating. Authors would be asked to respond to queries within 10 business days. Should the author query remain incomplete within 14 days of the initial contact to the study author(s), the study may be deemed ineligible under the grant competition. After the grant competition closes, the WWC will, for purposes of its

own curation of studies, continue to include responses to author queries and make updates to study reviews as necessary. However, no additional information will be considered after the competition closes and the initial timeline established for response to an author query passes.

Absolute Priority 2--Field-Initiated Innovations--General.

Projects that are designed to create, develop, implement, replicate, or take to scale entrepreneurial, evidence-based, field-initiated innovations to improve student achievement and attainment for high-need students.

Absolute Priority 3--Field-Initiated Innovations--Promoting Equity in Student Access to Educational Resources and Opportunities: STEM.

Projects that are designed to--

(a) Create, develop, implement, replicate, or take to scale entrepreneurial, evidence-based, field-initiated innovations to improve student achievement and attainment for high-need students; and

(b) Promote educational equity and adequacy in resources and opportunity for underserved students—

(1) In one or more of the following educational settings:

(i) Early learning programs.

(ii) Elementary school.

(iii) Middle school.

(iv) High school.

(v) Career and technical education programs.

(vi) Out-of-school-time settings.

(vii) Alternative schools and programs.

(viii) Juvenile justice system or correctional
facilities;

(2) That examine the sources of inequity and
inadequacy and implement responses, including rigorous,
engaging, and well-rounded (e.g., that include music and
the arts) approaches to learning that are inclusive with
regard to race, ethnicity, culture, language, and
disability status and prepare students for college, career,
and civic life, including science, technology, engineering,
and mathematics (STEM), including computer science
coursework.

Absolute Priority 4--Field-Initiated Innovations--
Meeting Student Social, Emotional, and Academic Needs.

Projects that are designed to--

(a) Create, develop, implement, replicate, or take to
scale entrepreneurial, evidence-based, field-initiated
innovations to improve student achievement and attainment
for high-need students; and

(b) Improve students' social, emotional, academic,
and career development, with a focus on underserved
students, through one or more of the following priority

areas:

(1) Developing and supporting educator and school capacity to support social and emotional learning and development that--

(i) Fosters skills and behaviors that enable academic progress;

(ii) Identifies and addresses conditions in the learning environment, that may negatively impact social and emotional well-being for underserved students, including conditions that affect physical safety; and

(iii) Is trauma-informed, such as addressing exposure to community-based violence and trauma specific to military- or veteran-connected students (as defined in this notice).

(2) Creating education or work-based settings that are supportive, positive, identity-safe and inclusive with regard to race, ethnicity, culture, language, and disability status, through one or more of the following activities:

(i) Developing trusting relationships between students (including underserved students), educators, families, and community partners.

(ii) Providing high-quality professional development opportunities designed to increase engagement and belonging and build asset-based mindsets for educators working in and throughout schools.

(iii) Engaging students (including underserved students), educators, families, and community partners from diverse backgrounds and representative of the community as partners in school climate review and improvement efforts.

(iv) Developing and implementing inclusive and culturally informed discipline policies and addressing disparities in school discipline policy by identifying and addressing the root causes of those disparities, including by involving educators, students, and families in decision-making about discipline procedures and providing training and resources to educators.

(v) Supporting students to engage in real-world, hands-on learning that is aligned with classroom instruction and takes place in community-based settings, such as apprenticeships, pre-apprenticeships, work-based learning, and service learning, and in civic activities, that allow students to apply their knowledge and skills, strengthen their employability skills, and access career exploration opportunities.

(3) Providing multi-tiered systems of supports that address learning barriers both in and out of the classroom, that enable healthy development and respond to students' needs and which may include evidence-based trauma-informed practices and professional development for educators on avoiding deficit-based approaches.

(4) Developing or implementing policies and

practices, consistent with applicable Federal law, that prevent or reduce significant disproportionality on the basis of race or ethnicity with respect to the identification, placement, and disciplining of children or students with disabilities (as defined in this notice).

(5) Providing students equitable access that is inclusive, with regard to race, LGBTQI+, ethnicity, culture, language, and disability status, to social workers, psychologists, counselors, nurses, or mental health professionals and other integrated services and supports, which may include in early learning environments.

(6) Preparing educators to implement project-based or experiential learning opportunities for students to strengthen their metacognitive skills, self-direction, self-efficacy, competency, or motivation, including through instruction that: Connects to students' prior knowledge and experience; provides rich, engaging, complex, and motivating tasks; and offers opportunities for collaborative learning.

(7) Creating and implementing comprehensive schoolwide frameworks (such as small schools or learning communities, advisory systems, or looping educators) that support strong and consistent student and educator relationships.

(8) Fostering partnerships, including across government agencies (e.g., housing, human services,

employment agencies), local educational agencies,
community-based organizations, adult learning providers,
and postsecondary education intuitions, to provide
comprehensive services to students and families that
support students' social, emotional, mental health, and
academic needs, and that are inclusive with regard to race,
ethnicity, culture, language, and disability status.

Competitive Preference Priorities: For FY 2022 and any
subsequent year in which we make awards from the list of
unfunded applications from this competition, these
priorities are competitive preference priorities. Under 34
CFR 75.105(c)(2)(i), we award up to an additional 6 points
to an application, depending on how well the application
addresses the competitive preference priorities.

   If an applicant chooses to address one or both
competitive preference priorities, the applicant must
identify in the project narrative section of its
application its response to the competitive preference
priorities it chooses to address.

   These priorities are:

Competitive Preference Priority 1--Promoting Equity in
Student Access to Educational Resources and Opportunities
(up to 3 points).

   Projects designed to promote education equity and
adequacy in resources and opportunity for underserved
students in middle school or high school that examine the

sources of inequity and inadequacy and implement responses, including rigorous, engaging, and well-rounded (e.g., that include music and the arts) approaches to learning that are inclusive with regard to race, ethnicity, culture, language, and disability status and prepare students for college, career, and civic life, including one or more of the following:

(a) Student-centered learning models that may leverage technology to address learner variability (e.g., universal design for learning (as defined in this notice), K-12 competency-based education (as defined in this notice), project-based learning, or hybrid/blended learning) and provide high-quality learning content, applications, or tools.

(b) Middle school courses or projects that prepare students to participate in advanced coursework in high school.

(c) Advanced courses and programs, including dual enrollment and early college programs.

(d) Project-based and experiential learning, including service and work-based learning.

(e) High-quality career and technical education courses, pathways, and industry-recognized credentials that are integrated into the curriculum.

<u>Competitive Preference Priority 2--Addressing the</u>
<u>Impact of COVID-19 on Students, Educators, and Faculty (up</u>
<u>to 3 points)</u>.

Projects that are designed to address the impacts of the COVID-19 pandemic, including impacts that extend beyond the duration of the pandemic itself, on the students most impacted by the pandemic, with a focus on underserved students and the educators who serve them through--

(a) Conducting community asset-mapping and needs assessments that may include an assessment of the extent to which students, including subgroups of students, have become disengaged from learning, including students not participating in in-person or remote instruction, and specific strategies for reengaging and supporting students and their families; and

(b) Using evidence-based instructional approaches and supports, such as professional development, coaching, ongoing support for educators, high quality tutoring, expanded access to rigorous coursework and content across K-12, and expanded learning time to accelerate learning for students in ways that ensure all students have the opportunity to successfully meet challenging academic content standards without contributing to tracking or remedial courses.

<u>Definitions</u>: The definitions of "baseline," "evidence-based," "experimental study," "moderate evidence,"

"national level," "nonprofit," "performance measure,"
"performance target," "project component," "quasi-
experimental design study," "regional level," "relevant
outcome," "strong evidence," and "What Works Clearinghouse
Handbooks (WWC Handbooks)" are from 34 CFR 77.1. The
definitions of "children or students with disabilities,"
"competency-based education," "disconnected youth," "early
learning," "educator," "English learner," "military- or
veteran-connected student," "underserved students," and
"universal design for learning" are from the Supplemental
Priorities. The definitions of "local educational agency"
and "State educational agency" are from section 8101 of the
ESEA.

Baseline means the starting point from which
performance is measured and targets are set.

Children or students with disabilities means children
with disabilities as defined in section 602(3) of the
Individuals with Disabilities Education Act (IDEA) (20
U.S.C. 1401(3)) and 34 CFR 300.8, or students with
disabilities, as defined in the Rehabilitation Act of 1973
(29 U.S.C. 705(37), 705(202)(B)).

Competency-based education (also called proficiency-
based or mastery-based learning) means learning based on
knowledge and skills that are transparent and measurable.
Progression is based on demonstrated mastery of what

students are expected to know (knowledge) and be able to do (skills), rather than seat time or age.

Disconnected youth means an individual, between the ages 14 and 24, who may be from a low-income background, experiences homelessness, is in foster care, is involved in the justice system, or is not working or not enrolled in (or at risk of dropping out of) an educational institution.

Early learning means any (a) State-licensed or State-regulated program or provider, regardless of setting or funding source, that provides early care and education for children from birth to kindergarten entry, including, but not limited to, any program operated by a child care center or in a family child care home; (b) program funded by the Federal Government or State or local educational agencies (including any IDEA-funded program); (c) Early Head Start and Head Start program; (d) nonrelative child care provider who is not otherwise regulated by the State and who regularly cares for two or more unrelated children for a fee in a provider setting; and (e) other program that may deliver early learning and development services in a child's home, such as the Maternal, Infant, and Early Childhood Home Visiting Program; Early Head Start; and Part C of IDEA.

Educator means an individual who is an early learning educator, teacher, principal or other school leader, specialized instructional support personnel (e.g., school

psychologist, counselor, school social worker, early intervention service personnel), paraprofessional, or faculty.

English learner means an individual who is an English learner as defined in section 8101(20) of the ESEA, or an individual who is an English language learner as defined in section 203(7) of the Workforce Innovation and Opportunity Act.

Evidence-based means the proposed project component is supported by one or more of strong evidence or moderate evidence.

Experimental study means a study that is designed to compare outcomes between two groups of individuals (such as students) that are otherwise equivalent except for their assignment to either a treatment group receiving a project component or a control group that does not. Randomized controlled trials, regression discontinuity design studies, and single-case design studies are the specific types of experimental studies that, depending on their design and implementation (e.g., sample attrition in randomized controlled trials and regression discontinuity design studies), can meet What Works Clearinghouse (WWC) standards without reservations as described in the WWC Handbooks (as defined in this notice):

(i) A randomized controlled trial employs random assignment of, for example, students, teachers, classrooms,

or schools to receive the project component being evaluated (the treatment group) or not to receive the project component (the control group).

(ii) A regression discontinuity design study assigns the project component being evaluated using a measured variable (e.g., assigning students reading below a cutoff score to tutoring or developmental education classes) and controls for that variable in the analysis of outcomes.

(iii) A single-case design study uses observations of a single case (e.g., a student eligible for a behavioral intervention) over time in the absence and presence of a controlled treatment manipulation to determine whether the outcome is systematically related to the treatment.

Local educational agency (LEA) means:

(a) In General. A public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State, or of or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools.

(b) Administrative Control and Direction. The term includes any other public institution or agency having

administrative control and direction of a public elementary school or secondary school.

(c) Bureau of Indian Education Schools. The term includes an elementary school or secondary school funded by the Bureau of Indian Education but only to the extent that including the school makes the school eligible for programs for which specific eligibility is not provided to the school in another provision of law and the school does not have a student population that is smaller than the student population of the LEA receiving assistance under the ESEA with the smallest student population, except that the school shall not be subject to the jurisdiction of any SEA (as defined in this notice) other than the Bureau of Indian Education.

(d) Educational Service Agencies. The term includes educational service agencies and consortia of those agencies.

(e) State Educational Agency. The term includes the SEA in a State in which the SEA is the sole educational agency for all public schools.

Military- or veteran-connected student means one or more of the following:

(a) A child participating in an early learning program, a student enrolled in preschool through grade 12, or a student enrolled in career and technical education or postsecondary education who has a parent or guardian who is

a member of the uniformed services (as defined by 37 U.S.C. 101), in the Army, Navy, Air Force, Marine Corps, Coast Guard, Space Force, National Guard, Reserves, National Oceanic and Atmospheric Administration, or Public Health Service or is a veteran of the uniformed services with an honorable discharge (as defined by 38 U.S.C. 3311).

(b) A student who is a member of the uniformed services, a veteran of the uniformed services, or the spouse of a service member or veteran.

(c) A child participating in an early learning program, a student enrolled in preschool through grade 12, or a student enrolled in career and technical education or postsecondary education who has a parent or guardian who is a veteran of the uniformed services (as defined by 37 U.S.C. 101).

Moderate evidence means that there is evidence of effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations or settings proposed to receive that component, based on a relevant finding from one of the following:

(i) A practice guide prepared by the WWC using version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks reporting a "strong evidence base" or "moderate evidence base" for the corresponding practice guide recommendation;

(ii) An intervention report prepared by the WWC using version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks

reporting a "positive effect" or "potentially positive effect" on a relevant outcome based on a "medium to large" extent of evidence, with no reporting of a "negative effect" or "potentially negative effect" on a relevant outcome; or

(iii) A single experimental study (as defined in this notice) or quasi-experimental design study reviewed and reported by the WWC using version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks, or otherwise assessed by the Department using version 4.1 of the WWC Handbook, as appropriate, and that--

(A) Meets WWC standards with or without reservations;

(B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome;

(C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks; and

(D) Is based on a sample from more than one site (e.g., State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites. Multiple studies of the same project component that each meet requirements in

paragraphs (iii)(A), (B), and (C) of this definition may together satisfy this requirement.

National level describes the level of scope or effectiveness of a process, product, strategy, or practice that is able to be effective in a wide variety of communities, including rural and urban areas, as well as with different groups (e.g., economically disadvantaged, racial and ethnic groups, migrant populations, individuals with disabilities, English learners, and individuals of each gender).

Nonprofit, as applied to an agency, organization, or institution, means that it is owned and operated by one or more corporations or associations whose net earnings do not benefit, and cannot lawfully benefit, any private shareholder or entity.

Performance measure means any quantitative indicator, statistic, or metric used to gauge program or project performance.

Performance target means a level of performance that an applicant would seek to meet during the course of a project or as a result of a project.

Project component means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional

practices for English learners and follow-on coaching for
these teachers).

Quasi-experimental design study means a study using a
design that attempts to approximate an experimental study
by identifying a comparison group that is similar to the
treatment group in important respects. This type of study,
depending on design and implementation (e.g., establishment
of baseline equivalence of the groups being compared), can
meet WWC standards with reservations, but cannot meet WWC
standards without reservations, as described in the WWC
Handbooks.

Regional level describes the level of scope or
effectiveness of a process, product, strategy, or practice
that is able to serve a variety of communities within a
State or multiple States, including rural and urban areas,
as well as with different groups (e.g., economically
disadvantaged, racial and ethnic groups, migrant
populations, individuals with disabilities, English
learners, and individuals of each gender). For an LEA-
based project, to be considered a regional-level project, a
process, product, strategy, or practice must serve students
in more than one LEA, unless the process, product,
strategy, or practice is implemented in a State in which
the SEA is the sole educational agency for all schools.

Relevant outcome means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

State educational agency (SEA) means the agency primarily responsible for the State supervision of public elementary schools and secondary schools.

Strong evidence means that there is evidence of the effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations and settings proposed to receive that component, based on a relevant finding from one of the following:

(i) A practice guide prepared by the WWC using version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks reporting a "strong evidence base" for the corresponding practice guide recommendation;

(ii) An intervention report prepared by the WWC using version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks reporting a "positive effect" on a relevant outcome based on a "medium to large" extent of evidence, with no reporting of a "negative effect" or "potentially negative effect" on a relevant outcome; or

(iii) A single experimental study reviewed and reported by the WWC using version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks, or otherwise assessed by the Department

using version 4.1 of the WWC Handbooks, as appropriate, and that--

    (A) Meets WWC standards without reservations;

    (B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome;

    (C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks; and

    (D) Is based on a sample from more than one site (e.g., State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites. Multiple studies of the same project component that each meet requirements in paragraphs (iii)(A), (B), and (C) of this definition may together satisfy the requirement in this paragraph (iii)(D).

    <u>Underserved student</u> means a student (which may include children in early learning environments, students in K-12 programs, and students in postsecondary education or career and technical education, as appropriate) in one or more of the following subgroups:

(a) A student who is living in poverty or is served by schools with high concentrations of students living in poverty.

(b) A student of color.

(c) A student who is a member of a federally recognized Indian Tribe.

(d) An English learner.

(e) A child or student with a disability.

(f) A disconnected youth.

(g) A technologically unconnected youth.

(h) A migrant student.

(i) A student experiencing homelessness or housing insecurity.

(j) A lesbian, gay, bisexual, transgender, queer or questioning, or intersex (LGBTQI+) student.

(k) A student who is in foster care.

(l) A student without documentation of immigration status.

(m) A pregnant, parenting, or caregiving student.

(n) A student impacted by the justice system, including a formerly incarcerated student.

(o) A student who is the first in their family to attend postsecondary education.

(p) A student performing significantly below grade level.

(q) A military- or veteran- connected student.

Universal design for learning has the meaning ascribed it in section 103(24) of the Higher Education Act of 1965, as amended.

What Works Clearinghouse Handbooks (WWC Handbooks) means the standards and procedures set forth in the WWC Standards Handbook, Versions 4.0 or 4.1, and WWC Procedures Handbook, Versions 4.0 or 4.1, or in the WWC Procedures and Standards Handbook, Version 3.0 or Version 2.1 (all incorporated by reference, see §77.2). Study findings eligible for review under WWC standards can meet WWC standards without reservations, meet WWC standards with reservations, or not meet WWC standards. WWC practice guides and intervention reports include findings from systematic reviews of evidence as described in the WWC Handbooks documentation.

Note: The What Works Clearinghouse Procedures and Standards Handbooks are available at https://ies.ed.gov/ncee/wwc/Handbooks.

Program Authority: 20 U.S.C. 7261.

Note: Projects will be awarded and must be operated in a manner consistent with the nondiscrimination requirements contained in Federal civil rights laws.

Applicable Regulations: (a) The Education Department General Administrative Regulations in 34 CFR parts 75, 77, 79, 81, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and Budget Guidelines to Agencies on

Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474. (d) The Supplemental Priorities.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education (IHEs) only.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: $159,400,000.

These estimated available funds are the total available for new awards for all three types of grants under the EIR program (Early-phase, Mid-phase, and Expansion grants).

Contingent upon the availability of funds and the quality of applications, we may make additional awards in subsequent years from the list of unfunded applications from this competition.

Estimated Average Size of Awards: Up to $8,000,000.

Maximum Award: We will not make an award exceeding $8,000,000 for a project period of 60 months. The Department intends to fund one or more projects under each of the EIR competitions, including Expansion (84.411A), Mid-phase (84.411B), and Early-phase (84.411C). Entities

may submit applications for different projects for more than one competition (Early-phase, Mid-phase, and Expansion). The maximum new award amount a grantee may receive under these three competitions, taken together, is $15,000,000. If an entity is within funding range for multiple applications, the Department will award the highest scoring applications up to $15,000,000.

Estimated Number of Awards: 5-12.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 60 months.

Note: Under section 4611(c) of the ESEA, the Department must use at least 25 percent of EIR funds for a fiscal year to make awards to applicants serving rural areas, contingent on receipt of a sufficient number of applications of sufficient quality. For purposes of this competition, we will consider an applicant as rural if the applicant meets the qualifications for rural applicants as described in the Eligible Applicants section and the applicant certifies that it meets those qualifications through the application.

In implementing this statutory provision and program requirement, the Department may fund high-quality applications from rural applicants out of rank order in the Mid-phase competition.

III. Eligibility Information

1. Eligible Applicants:

(a) An LEA;

(b) An SEA;

(c) The Bureau of Indian Education (BIE);

(d) A consortium of SEAs or LEAs;

(e) A nonprofit organization; and

(f) An LEA, an SEA, the BIE, or a consortium described in clause (d), in partnership with--

(1) A nonprofit (as defined in this notice) organization;

(2) A business;

(3) An educational service agency; or

(4) An IHE.

To qualify as a rural applicant under the EIR program, an applicant must meet both of the following requirements:

(a) The applicant is--

(1) An LEA with an urban-centric district locale code of 32, 33, 41, 42, or 43, as determined by the Secretary;

(2) A consortium of such LEAs;

(3) An educational service agency or a nonprofit organization in partnership with such an LEA; or

(4) A grantee described in clause (1) or (2) in partnership with an SEA; and

(b) A majority of the schools to be served by the program are designated with a locale code of 32, 33, 41,

42, or 43, or a combination of such codes, as determined by the Secretary.

Applicants are encouraged to retrieve locale codes from the National Center for Education Statistics School District search tool (https://nces.ed.gov/ccd/districtsearch/), where districts can be looked up individually to retrieve locale codes, and the Public School search tool (https://nces.ed.gov/ccd/schoolsearch/), where individual schools can be looked up to retrieve locale codes. More information on rural applicant eligibility is in the application package.

Note: If you are a nonprofit organization, under 34 CFR 75.51, you may demonstrate your nonprofit status by providing: (1) proof that the Internal Revenue Service currently recognizes the applicant as an organization to which contributions are tax deductible under section 501(c)(3) of the Internal Revenue Code; (2) a statement from a State taxing body or the State attorney general certifying that the organization is a nonprofit organization operating within the State and that no part of its net earnings may lawfully benefit any private shareholder or individual; (3) a certified copy of the applicant's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or (4) any item described above if that item

applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate.

In addition, any IHE is eligible to be a partner in an application submitted by LEA, SEA, BIE, consortium of SEAs or LEAs, or a nonprofit organization. A private IHE that is a nonprofit organization may apply for an EIR grant. A nonprofit organization, such as a development foundation, that is affiliated with a public IHE may apply for a grant. A public IHE that has 501(c)(3) status would also qualify as a nonprofit organization and may apply for an EIR grant. A public IHE without 501(c)(3) status (even if that entity is tax exempt under Section 115 of the Internal Revenue Code or any other State or Federal provision), or that could not provide any other documentation of nonprofit status described in 34 CFR 75.51(b), however, would not qualify as a nonprofit organization, and therefore would not be eligible to apply for and receive an EIR grant.

2. a. <u>Cost Sharing or Matching</u>: Under section 4611(d) of the ESEA, each grant recipient must provide, from Federal, State, local, or private sources, an amount equal to 10 percent of funds provided under the grant, which may be provided in cash or through in-kind contributions, to carry out activities supported by the grant. Grantees must include a budget showing their

matching contributions to the budget amount of EIR grant
funds and must provide evidence of their matching
contributions for the first year of the grant in their
grant applications.

Section 4611(d) of the ESEA authorizes the Secretary
to waive the matching requirement on a case-by-case basis,
upon a showing of exceptional circumstances, such as:

(i) The difficulty of raising matching funds for a
program to serve a rural area;

(ii) The difficulty of raising matching funds in
areas with a concentration of LEAs or schools with a high
percentage of students aged 5 through 17--

(A) Who are in poverty, as counted in the most recent
census data approved by the Secretary;

(B) Who are eligible for a free or reduced price
lunch under the Richard B. Russell National School Lunch
Act (42 U.S.C. 1751 et seq.);

(C) Whose families receive assistance under the State
program funded under part A of title IV of the Social
Security Act (42 U.S.C. 601 et seq.); or

(D) Who are eligible to receive medical assistance
under the Medicaid program; and

(iii) The difficulty of raising funds on Tribal land.

Applicants that wish to apply for a waiver must
include a request in their application that describes why
the matching requirement would cause serious hardship or an

inability to carry out project activities. Further
information about applying for waivers can be found in the
application package.

b. Indirect Cost Rate Information: This program uses
an unrestricted indirect cost rate. For more information
regarding indirect costs, or to obtain a negotiated
indirect cost rate, please see
www2.ed.gov/about/offices/list/ocfo/intro.html.

c. Administrative Cost Limitation: This program does
not include any program-specific limitation on
administrative expenses. All administrative expenses must
be reasonable and necessary and conform to Cost Principles
described in 2 CFR part 200 subpart E of the Uniform
Guidance.

3. Subgrantees: A grantee under this competition may
not award subgrants to entities to directly carry out
project activities described in its application.

4. Other: a. Funding Categories: An applicant will
be considered for an award only for the type of EIR grant
for which it applies (i.e., Mid-phase: Absolute Priority
2, Mid-phase: Absolute Priority 3, or Mid-phase: Absolute
Priority 4). An applicant may not submit an application
for the same proposed project under more than one type of
grant (e.g., both an Early-phase grant and Mid-phase
grant).

Note: Each application will be reviewed under the competition it was submitted under in the Grants.gov system, and only applications that are successfully submitted by the established deadline will be peer reviewed. Applicants should be careful that they download the intended EIR application package and that they submit their applications under the intended EIR competition.

b. Evaluation: The grantee must conduct an independent evaluation of the effectiveness of its project.

c. High-need students: The grantee must serve high-need students.

IV. Application and Submission Information

1. Application Submission Instructions: Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on December 27, 2021 (86 FR 73264) and available at www.federalregister.gov/d/2021-27979, which contain requirements and information on how to submit an application. Please note that these Common Instructions supersede the version published on February 13, 2019, and, in part, describe the transition from the requirement to register in SAM.gov a DUNS number to the implementation of the UEI. More information on the phase-out of DUNS numbers is available at

www2.ed.gov/about/offices/list/ofo/docs/unique-entity-identifier-transition-fact-sheet.pdf.

2. Submission of Proprietary Information: Given the types of projects that may be proposed in applications for Mid-phase grants, your application may include business information that you consider proprietary. In 34 CFR 5.11 we define "business information" and describe the process we use in determining whether any of that information is proprietary and, thus, protected from disclosure under Exemption 4 of the Freedom of Information Act (5 U.S.C. 552, as amended).

Because we plan to make successful applications available to the public, you may wish to request confidentiality of business information.

Consistent with Executive Order 12600, please designate in your application any information that you believe is exempt from disclosure under Exemption 4. In the appropriate Appendix section of your application, under "Other Attachments Form," please list the page number or numbers on which we can find this information. For additional information please see 34 CFR 5.11(c).

3. Intergovernmental Review: This competition is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this competition.

4. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

5. Recommended Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you (1) limit the application narrative for a Mid-phase grant to no more than 30 pages and (2) use the following standards:

• A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

• Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

• Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

• Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The recommended page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the recommended page limit does apply to all of the application narrative.

6. Notice of Intent to Apply: The Department will be able to review grant applications more efficiently if we know the approximate number of applicants that intend to apply. Therefore, we strongly encourage each potential applicant to notify us of their intent to submit an application. Applicants may access this form using the link available on the Notice of Intent to Apply section of the competition website:

https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/innovation-early-learning/education-innovation-and-research-eir/fy-2022-competition/.

Applicants that do not submit a notice of intent to apply may still apply for funding; applicants that do submit a notice of intent to apply are not bound to apply or bound by the information provided.

V. Application Review Information

1. Selection Criteria: The selection criteria for the Mid-phase competition are from 34 CFR 75.210. The points assigned to each criterion are indicated in the parentheses next to the criterion. An applicant may earn up to a total of 100 points based on the selection criteria for the application.

A. Significance (up to 15 points).

The Secretary considers the significance of the proposed project. In determining the significance of the

proposed project, the Secretary considers the following
factors:

(1) The national significance of the proposed
project. (5 points)

(2) The extent to which the proposed project involves
the development or demonstration of promising new
strategies that build on, or are alternatives to, existing
strategies. (5 points)

(3) The potential contribution of the proposed
project to increased knowledge or understanding of
educational problems, issues, or effective strategies. (5
points)

B. Strategy to Scale (up to 35 points).

The Secretary considers the applicant's strategy to
scale the proposed project. In determining the applicant's
capacity to scale the proposed project, the Secretary
considers the following factors:

(1) The extent to which the applicant identifies a
specific strategy or strategies that address a particular
barrier or barriers that prevented the applicant, in the
past, from reaching the level of scale that is proposed in
the application. (10 points)

(2) The adequacy of the management plan to achieve
the objectives of the proposed project on time and within
budget, including clearly defined responsibilities,

timelines, and milestones for accomplishing project tasks.
(5 points)

(3) The applicant's capacity (e.g., in terms of
qualified personnel, financial resources, or management
capacity) to bring the proposed project to scale on a
national or regional level (as defined in 34 CFR 77.1(c))
working directly, or through partners, during the grant
period. (10 points)

(4) The mechanisms the applicant will use to broadly
disseminate information on its project so as to support
further development or replication. (10 points)

C. Quality of the Project Design (up to 15 points).

The Secretary considers the quality of the design of
the proposed project. In determining the quality of the
design of the proposed project, the Secretary considers the
following factors:

(1) The extent to which there is a conceptual
framework underlying the proposed research or demonstration
activities and the quality of that framework. (5 points)

(2) The extent to which the goals, objectives, and
outcomes to be achieved by the proposed project are clearly
specified and measurable. (5 points)

(3) The extent to which the design of the proposed
project is appropriate to, and will successfully address,
the needs of the target population or other identified
needs. (5 points)

D. <u>Quality of the Project Evaluation (up to 35 points)</u>.

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

(1) The extent to which the methods of evaluation will, if well implemented, produce evidence about the project's effectiveness that would meet the What Works Clearinghouse standards without reservations as described in the What Works Clearinghouse Handbook (as defined in 34 CFR 77.1(c)). (20 points)

(2) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings. (5 points)

(3) The extent to which the evaluation plan clearly articulates the key project components, mediators, and outcomes, as well as a measurable threshold for acceptable implementation. (5 points)

(4) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

<u>Note</u>: Applicants may wish to review the following technical assistance resources on evaluation: (1) WWC Procedures and Standards Handbooks:

https://ies.ed.gov/ncee/wwc/Handbooks; (2) "Technical

Assistance Materials for Conducting Rigorous Impact

Evaluations":

http://ies.ed.gov/ncee/projects/evaluationTA.asp; and (3)

IES/NCEE Technical Methods papers:

http://ies.ed.gov/ncee/tech_methods/. In addition,

applicants may view an optional webinar recording that was

hosted by the Institute of Education Sciences. The webinar

focused on more rigorous evaluation designs, discussing

strategies for designing and executing experimental studies

that meet WWC evidence standards without reservations.

This webinar is available at:

https://ies.ed.gov/ncee/wwc/Multimedia/18.

2. Review and Selection Process: We remind potential

applicants that in reviewing applications in any

discretionary grant competition, the Secretary may

consider, under 34 CFR 75.217(d)(3), the past performance

of the applicant in carrying out a previous award, such as

the applicant's use of funds, achievement of project

objectives, and compliance with grant conditions. The

Secretary may also consider whether the applicant failed to

submit a timely performance report or submitted a report of

unacceptable quality.

In addition, in making a competitive grant award, the

Secretary requires various assurances, including those

applicable to Federal civil rights laws that prohibit

discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

Before making awards, we will screen applications submitted in accordance with the requirements in this notice to determine whether applications have met eligibility and other requirements. This screening process may occur at various stages of the process; applicants that are determined to be ineligible will not receive a grant, regardless of peer reviewer scores or comments.

Peer reviewers will read, prepare a written evaluation of, and score the assigned applications, using the selection criteria provided in this notice.

3. Risk Assessment and Specific Conditions: Consistent with 2 CFR 200.206, before awarding grants under this competition the Department conducts a review of the risks posed by applicants. Under 2 CFR 200.208, the Secretary may impose specific conditions and, under 2 CFR 3474.10, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. Integrity and Performance System: If you are
selected under this competition to receive an award that
over the course of the project period may exceed the
simplified acquisition threshold (currently $250,000),
under 2 CFR 200.206(a)(2), we must make a judgment about
your integrity, business ethics, and record of performance
under Federal awards--that is, the risk posed by you as an
applicant--before we make an award. In doing so, we must
consider any information about you that is in the integrity
and performance system (currently referred to as the
Federal Awardee Performance and Integrity Information
System (FAPIIS)), accessible through the System for Award
Management. You may review and comment on any information
about yourself that a Federal agency previously entered and
that is currently in FAPIIS.

Please note that, if the total value of your currently
active grants, cooperative agreements, and procurement
contracts from the Federal Government exceeds $10,000,000,
the reporting requirements in 2 CFR part 200, Appendix XII,
require you to report certain integrity information to
FAPIIS semiannually. Please review the requirements in 2
CFR part 200, Appendix XII, if this grant plus all the
other Federal funds you receive exceed $10,000,000.

5. In General: In accordance with the Office of
Management and Budget's guidance located at 2 CFR part 200,
all applicable Federal laws, and relevant Executive

guidance, the Department will review and consider applications for funding pursuant to this notice inviting applications in accordance with:

(a) Selecting recipients most likely to be successful in delivering results based on the program objectives through an objective process of evaluating Federal award applications (2 CFR 200.205);

(b) Prohibiting the purchase of certain telecommunication and video surveillance services or equipment in alignment with section 889 of the National Defense Authorization Act of 2019 (Pub. L. 115-232) (2 CFR 200.216);

(c) Providing a preference, to the extent permitted by law, to maximize use of goods, products, and materials produced in the United States (2 CFR 200.322); and

(d) Terminating agreements in whole or in part to the greatest extent authorized by law if an award no longer effectuates the program goals or agency priorities (2 CFR 200.340).

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Open Licensing Requirements: Unless an exception applies, if you are awarded a grant under this competition, you will be required to openly license to the public grant deliverables created in whole, or in part, with Department grant funds. When the deliverable consists of modifications to pre-existing works, the license extends only to those modifications that can be separately identified and only to the extent that open licensing is permitted under the terms of any licenses or other legal restrictions on the use of pre-existing works. Additionally, a grantee or subgrantee that is awarded competitive grant funds must have a plan to disseminate these public grant deliverables. This dissemination plan

can be developed and submitted after your application has been reviewed and selected for funding. For additional information on the open licensing requirements please refer to 2 CFR 3474.20.

<u>Note</u>: The evaluation report is a specific deliverable under a Mid-phase grant that grantees must make available to the public. Additionally, EIR grantees are encouraged to submit final studies resulting from research supported in whole or in part by EIR to the Educational Resources Information Center (http://eric.ed.gov).

    4. <u>Reporting</u>: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

    (b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multiyear award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to www.ed.gov/fund/grant/apply/appforms/appforms.html.

(c) Under 34 CFR 75.250(b), the Secretary may provide a grantee with additional funding for data collection analysis and reporting. In this case the Secretary establishes a data collection period.

5. Performance Measures: For the purpose of Department reporting under 34 CFR 75.110, the Department has established a set of performance measures (as defined in this notice) for the Mid-phase grants.

Annual performance measures: (1) The percentage of grantees that reach their annual target number of students as specified in the application; (2) the percentage of grantees that reach their annual target number of high-need students as specified in the application; (3) the percentage of grantees with ongoing well-designed and independent evaluations that will provide evidence of their effectiveness at improving student outcomes in multiple contexts; (4) the percentage of grantees that implement an evaluation that provides information about the key practices and the approach of the project so as to facilitate replication; (5) the percentage of grantees that implement an evaluation that provides information on the cost-effectiveness of the key practices to identify potential obstacles and success factors to scaling; and (6) the cost per student served by the grant.

Cumulative performance measures: (1) The percentage of grantees that reach the targeted number of students

specified in the application; (2) the percentage of grantees that reach the targeted number of high-need students specified in the application; (3) the percentage of grantees that implement a completed, well-designed, well-implemented, and independent evaluation that provides evidence of their effectiveness at improving student outcomes at scale; (4) the percentage of grantees with a completed well-designed, well-implemented, and independent evaluation that provides information about the key elements and the approach of the project so as to facilitate replication or testing in other settings; (5) the percentage of grantees with a completed evaluation that provided information on the cost-effectiveness of the key practices to identify potential obstacles and success factors to scaling; and (6) the cost per student served by the grant.

Project-Specific Performance Measures: Applicants must propose project-specific performance measures and performance targets (as defined in this notice) consistent with the objectives of the proposed project. Applications must provide the following information as directed under 34 CFR 75.110(b) and (c):

(1) Performance measures. How each proposed performance measure would accurately measure the performance of the project and how the proposed performance

measure would be consistent with the performance measures established for the program funding the competition.

(2) Baseline (as defined in this notice) data. (i) Why each proposed baseline is valid; or (ii) if the applicant has determined that there are no established baseline data for a particular performance measure, an explanation of why there is no established baseline and of how and when, during the project period, the applicant would establish a valid baseline for the performance measure.

(3) Performance targets. Why each proposed performance target is ambitious yet achievable compared to the baseline for the performance measure and when, during the project period, the applicant would meet the performance target(s).

(4) Data collection and reporting. (i) The data collection and reporting methods the applicant would use and why those methods are likely to yield reliable, valid, and meaningful performance data; and (ii) the applicant's capacity to collect and report reliable, valid, and meaningful performance data, as evidenced by high-quality data collection, analysis, and reporting in other projects or research.

All grantees must submit an annual performance report with information that is responsive to these performance measures.

6. Continuation Awards: In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things, whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance measurement requirements, whether the grantee has made substantial progress in achieving the performance targets in the grantee's approved application.

In making a continuation award, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

VII. Other Information

Accessible Format: On request to the program contact person listed under FOR FURTHER INFORMATION CONTACT, individuals with disabilities can obtain this document and a copy of the application package in an accessible format. The Department will provide the requestor with an accessible format that may include Rich Text Format (RTF) or text format (txt), a thumb drive, an MP3 file, braille,

large print, audiotape, or compact disc, or other accessible format.

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Ruth E. Ryder
Deputy Assistant Secretary for
Policy and Programs
Office of Elementary and Secondary
Education

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